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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/478,254	01/06/2000	ROBERT ZUCCHERATO	0500.9906162	1450

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EXAMINER
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SMITHERS, MATTHEW

ART UNIT	PAPER NUMBER
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2134

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DATE MAILED: 10/06/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/478,254

PRG  
Applicant(s)

ZUCCHERATO ET AL.

Examiner

Matthew B Smithers

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 06 January 2000.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-16 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1,3-6,9-11 and 13-16 is/are rejected.
- 7) ☒ Claim(s) 2,7,8 and 12 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other:

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-16 are rejected under 35 U.S.C. 102(e) as being anticipated by U.S. 6,378,072 granted to Collins et al.

Regarding claim 1, Collins meets the claims limitations as follows:

“A method for initializing operation of an information security operation for an entity, comprising the steps of:

storing at least one of: entity identification data and a function of entity identification data and storing associated shared authentication data;

storing inquiry data to facilitate entry of shared authentication data for initialization;

retrieving the stored inquiry data for presentation based on received entity identification data;

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receiving shared authentication data in response to the presented inquiry data; comparing received shared authentication data with the stored shared authentication data; and

determining whether to initialize operation of the information security operation based on the comparison." see column 2, line 48 to column 3, line 13 and column 8, line 12 to 11, line 23.

Regarding claim 3, Collins meets the claims limitations as follows:

The method of claim 1 including the steps of: storing data representing a function of the entity identification data and storing shared authentication type data; subsequently generating data representing a function of the received entity identification data;

obtaining the stored shared authentication type data based on the subsequently generated data representing a function of the received entity identification data; and selecting, under control of a processing unit, stored inquiry data for presentation to a user, based on the obtained stored shared authentication type data." see column 2, line 48 to column 3, line 13 and column 8, line 12 to 11, line 23.

Regarding claim 4, Collins meets the claims limitations as follows:

"The method of claim 1 wherein the step of initializing the operation of the information security operation includes the use of a PAKE or other appropriate protocol." see column 6, lines 5-18.

Regarding claim 5, Collins meets the claims limitations as follows:

The method of claim 1 wherein the step of determining whether to initialize the operation of the information security operation includes repeating the steps of retrieving

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stored inquiry data for presentation based on received entity identification data; receiving shared authentication data in response to the presented inquiry data and combining with previously received authentication data; comparing received shared authentication data with the stored shared authentication data; and determining whether to initialize operation of the information security operation based on the comparison.”

see column 2, line 48 to column 3, line 13 and column 8, line 12 to 11, line 23.

Regarding claim 6, Collins meets the claims limitations as follows:

“A method for initializing operation of an information security operation for an entity, comprising the steps of:

storing, by a first processor, at least one of entity identification data and a function of entity identification data and storing associated shared authentication data;

storing, by a second processor, inquiry data to facilitate entry of shared authentication data for initialization;

retrieving, by the second processor, the stored inquiry data for presentation based on received entity identification data; receiving, by a third processor, shared authentication data in response to the presented inquiry data;

comparing received shared authentication data with the stored shared authentication data; and determining whether to initialize operation of the information security operation based on the comparison.” see column 2, line 48 to column 3, line 13 and column 8, line 12 to 11, line 23.

Regarding claim 9, Collins meets the claims limitations as follows:

“The method of claim 6 wherein the step of initializing the operation of the

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information security operation includes the use of a PAKE or other appropriate protocol.” see column 6, lines 5-18.

Regarding claim 10, Collins meets the claims limitations as follows:

“The method of claim 6 wherein the step of determining whether to initialize the operation of the information security operation includes repeating the steps of: retrieving stored inquiry data for presentation based on received entity identification data; receiving shared authentication data in response to the presented inquiry data and combining with previously received authentication data; comparing received shared authentication data with the stored shared authentication data; and determining whether to initialize operation of the information security operation based on the comparison.”

see column 2, line 48 to column 3, line 13 and column 8, line 12 to 11, line 23.

Claims 11, 13, 15 and 16 are system claims that are substantially equivalent to method claims 1, 3, 4 and 5. Therefore claims 11, 13, 15, and 16 are rejected by a similar rationale.

### ***Allowable Subject Matter***

Claims 2, 7, 8, 12 and 14 objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

The following is a statement of reasons for the indication of allowable subject matter:

With respect to claims 2, 7, 8 and 12, the cited prior art fails to specifically teach wherein the step of storing inquiry data includes storing at least one of: a plurality of

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forms containing questions wherein different forms are stored for different types of shared authentication data and are selectable through a user interface, and a plurality of questions indexed based on at least type of shared authentication data that are automatically selected for presentation based on received entity identification data.

With respect to claim 14, the cited prior art fails to specifically teach wherein the second processor includes a request generator and a question generator and wherein the entity includes a graphic user interface for presenting questions received from the second processor.

### ***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

A. Chari (6,038,319) discloses a method for executing applications using a credential consisting of a producer identification number and the application ID for each grantor.

B. Jablon (6,226,383) discloses a method for mutually authenticating two entities over a network.

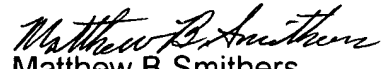
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Matthew B Smithers whose telephone number is (703) 308-9293. The examiner can normally be reached on Monday-Friday (9:00-5:30) EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory A Morse can be reached on (703) 308-4789. The fax phone

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number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

  
Matthew B Smithers  
Primary Examiner  
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